Orientation Manual Page: 44

Now that we have reviewed the organizational structure and benefits, let's delve in to policies, procedures, and benefits that apply to all employees in DPS.

We'll start with Employment Policies.

As we review these policies, please keep in mind that your Division and or Unit/Facility may have additional policies, procedures, or stipulations. Therefore it is important to refer to your supervisor or appropriate manager at your facility if you have any questions.

Orientation Manual Page: 44

An employee entering into State service in a permanent or time-limited permanent position is given either a probationary or trainee appointment which is intended to serve as an extension of the selection process. It provides time for the effective adjustment of the new employee or elimination of the employee whose performance does not meet acceptable standards.

New Appointment
A new appointment is the initial employment of an individual to a position or the reemployment of an individual who is either not eligible for reinstatement or is not offered reinstatement. An employee entering into State service in a permanent or time-limited permanent position shall be given a Probationary or Trainee appointment. The probationary and trainee periods are intended to serve as an extension of the selection process and are used to determine whether the person will be able to meet acceptable performance and/or personal conduct standards. If the employee in probationary or trainee status does not meet performance or personal conduct standards, the employee will be separated.

Probationary Status
Most position classifications within the Department (excluding those hired in trainee status) require new hires to be placed in Probationary Status. Employees hired in positions requiring Probationary Status must serve a probationary period of 12 months from the date of hire. Credit is given for each month in which employees are in pay status for one-half or more of the workdays and holidays. (This probationary period is not the same as and should not be confused with the probationary certification prescribed for criminal justice officers).

Trainee Status

Employees hired in position classifications requiring trainee progressions (such as Correctional Officers, Correctional Food Service Officers, & Probation/Parole Officers, etc.) do not have all of the necessary knowledge, skills, and abilities to meet the minimum qualifications of the position. A trainee progression is established for the employee to obtain the necessary qualifications. Employees in trainee progressions must remain in trainee status until the completion of the trainee progression. The minimum requirement for a trainee appointment is outlined in the class specification for the regular classification

Permanent Appointment

An employee shall be given a permanent appointment when:

1. The requirements of the probationary period have been satisfied or when the employee with a trainee appointment has satisfactorily completed all training and experience required for the position classification and,
2. All credentials have been verified.

Merit Based Hiring and Selection

The primary purpose of the Merit-Based Recruitment and Selection Process shall be to ensure that positions subject to the State Personnel Act (G.S. 126) are filled with most qualified individuals from among the pool of qualified applicants as determined by job related criteria and in the judgment of unbiased, objective human resource professionals.

The recruitment and selection processes will

- be consistently applied
- be nondiscriminatory
- promote fairness, diversity, and integrity.
- comply with all Federal and State laws, regulations, and policies.

71

Orientation Manual Page: 44

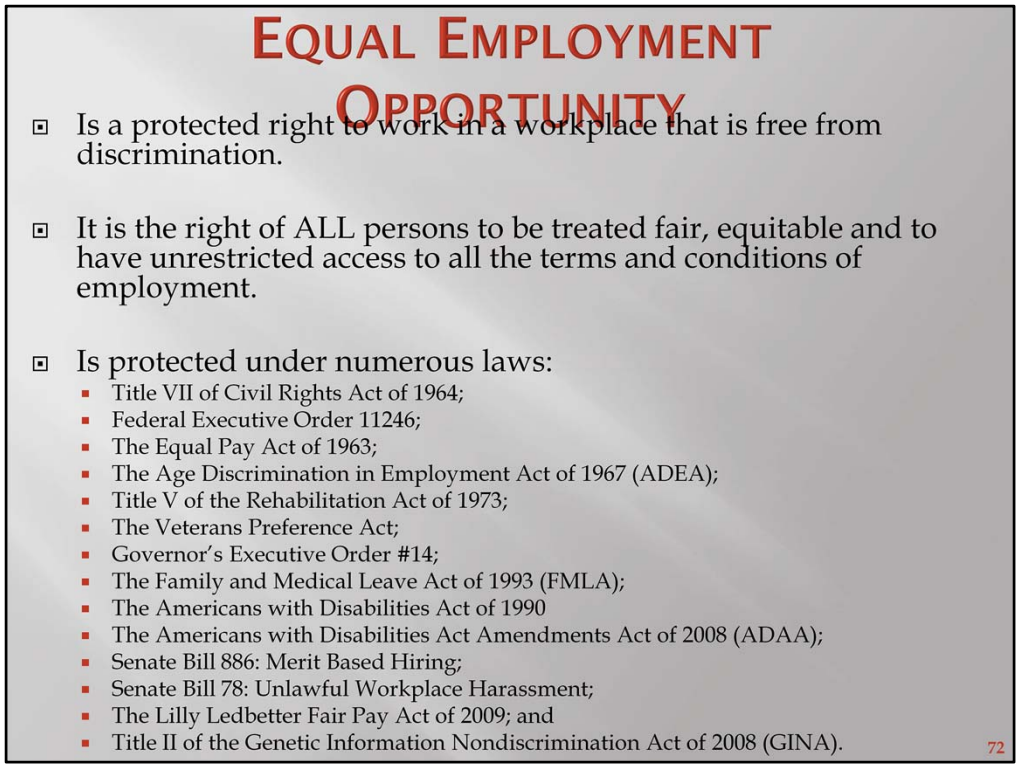
The Secretary of the Department of Public Safety accepts the responsibility for ensuring that the recruitment and selection process complies with all applicable and existing state and federal laws. That is done through the Merit Based Hiring and Selection policy.

The primary purpose of the Merit-Based Recruitment and Selection Process shall be to ensure that positions subject to the State Personnel Act (G.S. 126) are filled with most qualified individuals from among the pool of qualified applicants as determined by job related criteria and in the judgment of unbiased, objective human resource professionals.

This policy requires that all recruitment and selection processes will

- be consistently applied
- be nondiscriminatory
- promote fairness, diversity, and integrity.
- comply with all Federal and State laws, regulations, and policies.

If an applicant has reason to believe they were denied employment due to political affiliation or influence, the applicant may appeal the hiring decision. That process is outlined in your manual on pages 41 and 42



Orientation Manual Page: 45

The Department of Public Safety's Equal Employment Opportunity program is intended to create a diverse workforce climate that is responsive and respectful of fairness and equity for applicants and employees which ensures compliance with State and Federal guidelines.

Equal Employment Opportunity guidelines also prohibit retaliatory actions against employees or applicants because they filed a charge, testified, assisted or participated, in any manner, in a hearing, proceeding, investigation, or employment discrimination complaint.

Equal Employment Opportunity is protected under many laws including the ones you see here. You can see that some began in the 1960s and the most recent one was in 2009.

Equal Employment Opportunity

Applies to decisions involving

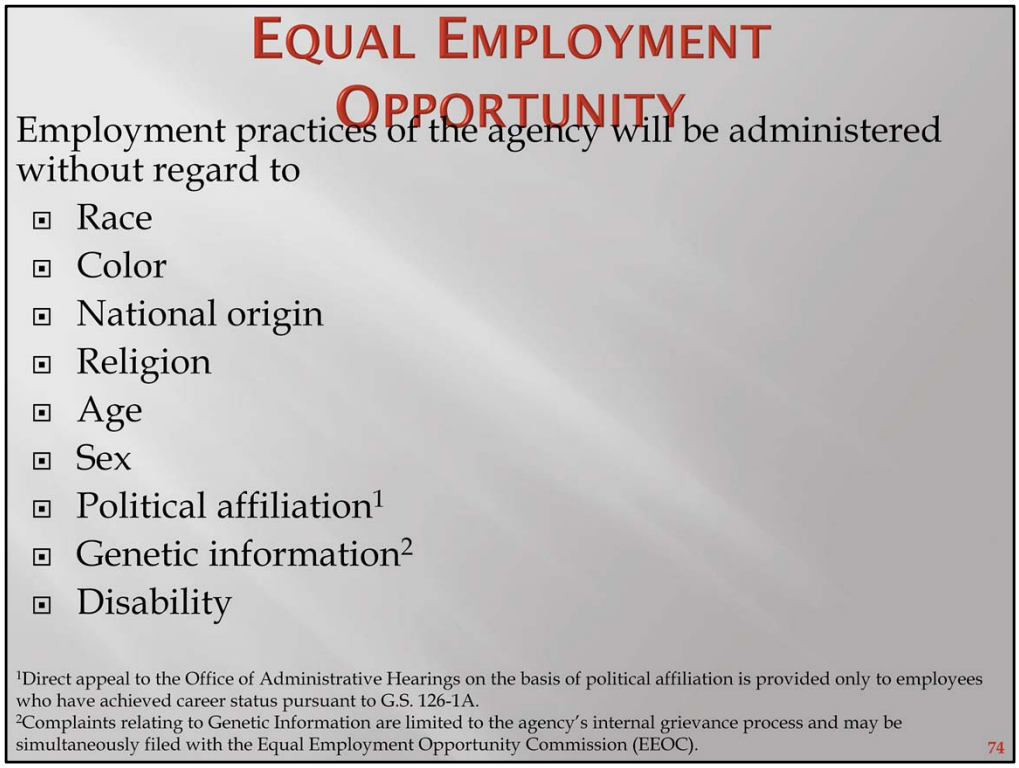
- recruitment, including advertising, or soliciting for employment;
- treatment during employment including compensation, promotion and reallocation;
- evaluation of work performance;
- administration of all forms of pay and compensation;
- selection for training, including trainee, intern and apprenticeship opportunities;
- other career development opportunities, and
- transfer, separation, demotion, termination and/or reduction-in-force

73

Orientation Manual Page: 45

EEO Laws apply to all aspects of employment beginning with recruitment and selection processes to treatment and compensation, evaluation, benefits, training and throughout the entire work life cycle of an employee.

All of these employment decisions must be made without regard to the following:

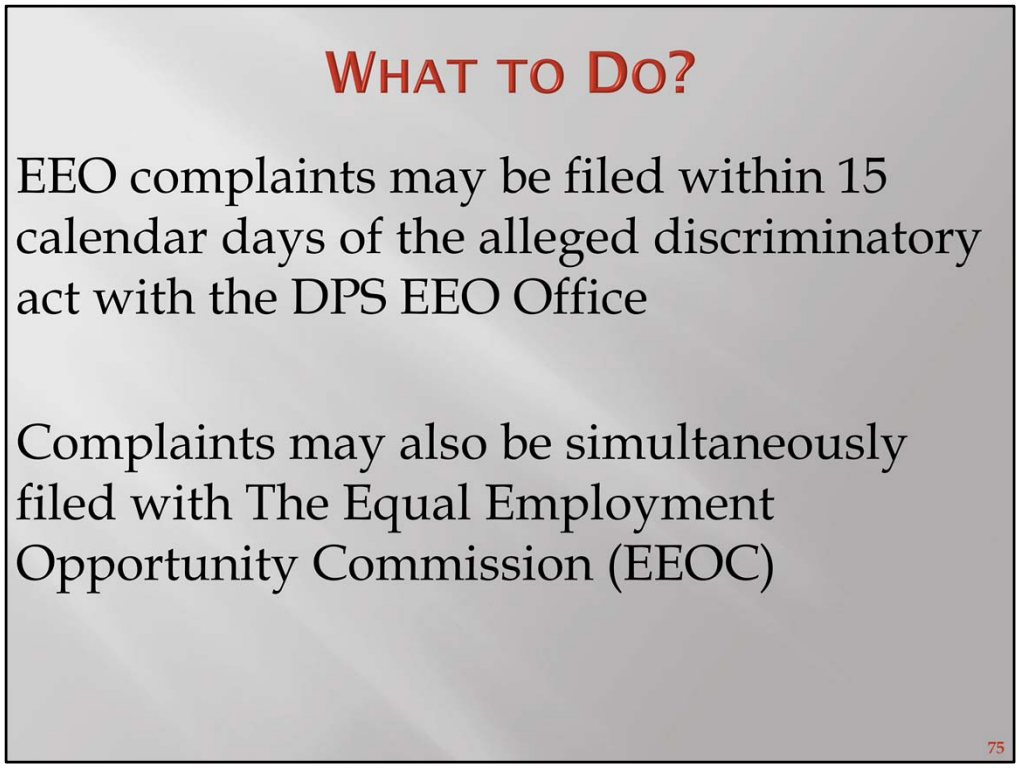


Orientation Manual Page: 45

Race, color, sex, religion, national origin, age, genetic information, or disability status, except where age, sex or physical requirements constitute bona fide occupational qualifications. These are known as "protected classes". Our employment practices must be administered without regard to these things. Employment decisions must be made based on job related criteria.

On the next slide we will review the process for filing a complaint or grievance. It is important to note that for grievances related to political affiliation, employees may directly appeal to the Office of Administrative Hearings only if they are an employee who has achieved career status pursuant to G.S. 126-1A.

Complaints relating to Genetic Information are limited to the agency's internal grievance process and may be simultaneously filed with the Equal Employment Opportunity Commission (EEOC).



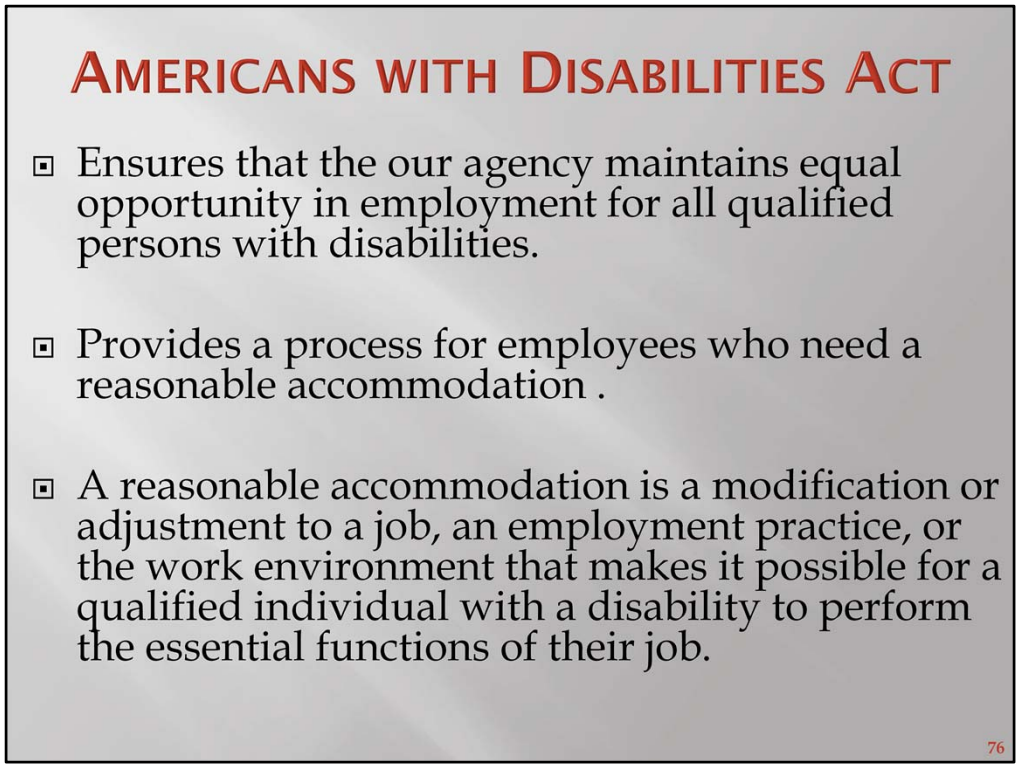
Orientation Manual Page: 46

Grievances/Complaints may be filed with the Department of Public Safety EEO Office within fifteen (15) calendar days of the alleged discriminatory act.

The employee also has the right to file a complaint simultaneously with the Equal Employment Opportunity Commission (EEOC) within 180 days of the alleged discriminatory act.

If the individual chooses to grieve to the Department's EEO Office, a thorough investigation will be conducted and recommendations made as appropriate.

The forms and process is on the DPS Website under For Employees.



Orientation Manual Page: 47

Title I of the Americans with Disabilities Act (ADA) prohibits discrimination against qualified individuals with disabilities in job application procedures, hiring, firing, advancement, compensation, job training, and other terms, conditions, and privileges of employment. The Department's policy and procedures address all aspects of the employment process.

In compliance with the ADA, it is the policy of the Department of Public Safety to:

- Prohibit discrimination against employees and qualified applicants on the basis of a disability;
- Protect individuals from discrimination, coercion, intimidation, threats or interference when filing an ADA complaint or testifying about alleged ADA violations; and,
- Consider requests for and provide reasonable accommodation(s) to employees and qualified applicants consistent with the procedures delineated in this policy.

Reasonable Accommodation

- An employer is required to make a reasonable accommodation to the known disability of a qualified applicant or employee if requested and if it would not impose an "undue hardship"
- Requests for reasonable accommodation(s) are initiated in writing by the employee and through the appropriate chain-of-command to the DPS ADA Compliance Officer for final approval.
- All requests related to mandatory Criminal Justice Education and Training Standards Commission Basic Training requirements shall be initiated using Request for Reasonable Accommodation – Basic Training form. This form shall be forwarded directly to the Director of the Office of Staff Development and Training for consideration.

77

Orientation Manual Page: 47

If an employee needs to request an accommodation, they must initiate that request in writing by submitting the RRA Form through the appropriate chain-of-command to the ADA Compliance Officer for final approval.

All requests related to mandatory Criminal Justice Education and Training Standards Commission Basic Training requirements shall be initiated using Request for Reasonable Accommodation – Basic Training form. This form is then forwarded directly to the Director of the Office of Staff Development and Training for consideration.

Employment of Relatives (Nepotism)

- Members of an immediate family shall not be employed within the same agency if such employment will result in one member supervising another member of the employee's immediate family, or if one member will occupy a position which has influence over another member's employment, promotion, salary administration or other related management or personnel considerations.

78

Orientation Manual Page: 47

This is generally called the "nepotism policy"

This policy states that members of an immediate family shall not be employed within the same agency if such employment will result in one member supervising another member of the employee's immediate family, or if one member will occupy a position which has influence over another member's employment, promotion, salary administration or other related management or personnel considerations.

The term immediate family includes wife, husband, mother, father, brother, sister, son, daughter, grandmother, grandfather, grandson and granddaughter. Also included is the step-, half- and in-law relationships.

It also includes other people living in the same household, who share a relationship comparable to immediate family members if either occupies a position which requires influence over the other's employment, promotion, salary administration or other related management or personnel considerations.

Secondary Employment

Secondary Employment is not allowed if the employment will:

- Impair in any way the employee's ability to perform all required duties and responsibilities or any other duties and responsibilities as assigned;
- Impair in any way the employee's ability to make decisions and/or carry out the responsibilities of the employee's position in an objective fashion;
- Result either directly or indirectly in a conflict of interest with the primary employment.

79

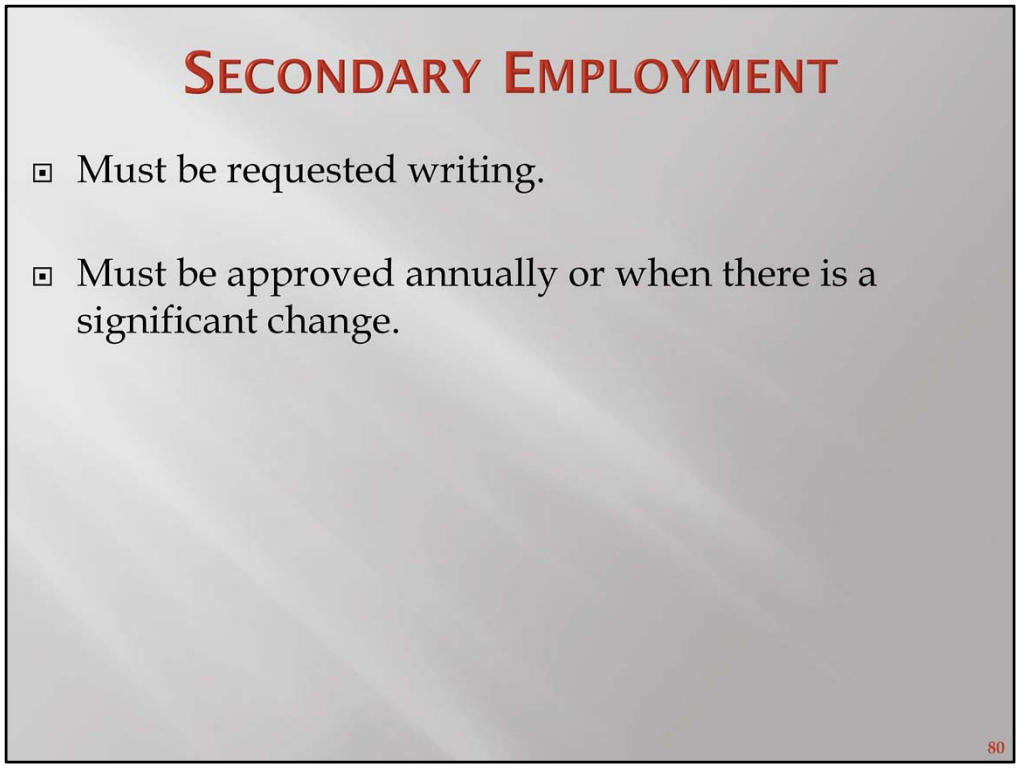
Orientation Manual Page: 48

An important policy that all new hires need to be aware of is the Secondary Employment Policy. Before you can assume a secondary job, you must first obtain approval from your chain of command. You must complete the Request for Secondary Employment form and submit it to your supervisor.

Your request must be approved by your supervisor and the Division Director before you can begin secondary employment.

Certain issues must be considered by management before approval can be given. Secondary employment shall not be permitted when it may reasonably be expected that such employment would:

- Impair the employee's ability to perform all required duties;
- Impair the employee's ability to make decisions and carry out in an objective fashion the responsibilities of the position; OR
- Result in either directly or indirectly a conflict of interest with the primary employment.



Orientation Manual Page: 48

You are responsible for notifying your supervisor in writing of any major changes in secondary employment.

In addition, approval requests for secondary employment should be made each year and whenever you change positions.

Secondary Employment Revocation

Approval for secondary employment may be revoked at any time for any of the below listed reasons. These may also be grounds for disciplinary action up to and including dismissal.

- Failure to request and obtain approval of secondary employment initially, annually, and/or when the employee changes positions.
- The submission of falsified information.
- Negative impact on the employee's work performance.
- The use of state resources or state time for the benefit of secondary employment.
- Failure to notify the immediate supervisor of any major change in the nature of the secondary employment.
- The issuance of disciplinary action shall result in a reevaluation of the employee's secondary employment relationship.

81

Orientation Manual Page: 48

Approval for secondary employment may be revoked at any time for any of the below listed reasons. Please keep in mind that the following would be grounds for disciplinary action:

- Failure to request and obtain approval of secondary employment initially, annually, and/or when the employee changes positions.
- The submission of falsified information
- Negative impact on the employee's work performance in his/her primary employment.
- The use of state resources or state time for the benefit of secondary employment.
- Failure to notify the immediate supervisor of any major change in the nature of the secondary employment.

The issuance of disciplinary action shall result in a reevaluation of the employee's secondary employment relationship and may result in revocation of approval depending on the subject matter and severity of the disciplinary action.

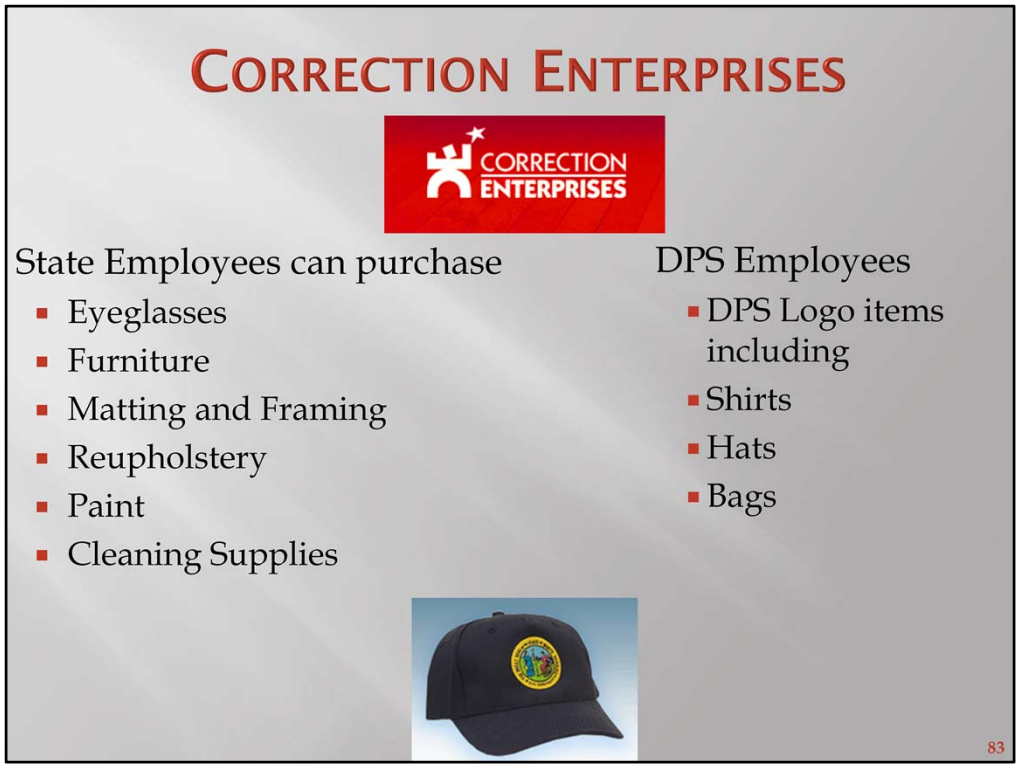
Orientation Manual Page: 50

Job vacancies are posted electronically to the Office of State Personnel. The electronic posting system is designed for posting time frames are generally set to begin on Monday, post for five (5) calendar days, and end on Friday, not including holidays.

To apply for a vacant position, you must submit an electronic application through Office of State Personnel online hiring system, NEOGOV. This link provides you with a step by step guide of creating, saving, and submitting an application for a vacant position.

To receive credit for your work history and credentials, you must list the information on the application. If possible, address the knowledge, skills, abilities, experience, education, and selective criteria requested in the job posting.

Your application must be received by 5:00pm on the closing date to be eligible for consideration. Applications received after that date and time will not be considered.



Orientation Manual Page: 52

As a state employee, you may purchase items that made and/or sold through Correction Enterprises. Correction Enterprises is a valuable program that teaches offenders personal responsibility and work skills to increase the likelihood of success upon release. Items available through Correction Enterprises include:

- Eyeglasses
- Furniture
- Matting and Framing
- Reupholstery
- Paint
- Cleaning Supplies

Additionally, as a DPS Employee, you may order shirts, bags, hats, and other items with the DPS Logo on them. There is a link to Correction Enterprises on the main DPS Website that explains how to access and order items.

YOUR PERSONNEL RECORD

Public Information

- Name
- Age
- Date of original employment or appointment to State service
- The terms of any contract by which the employee is employed
- Current position
- Title
- Current salary
- Date and amount of each increase or decrease in salary
- Date and type of each promotion, demotion, transfer, suspension, separation,
- Date and general description of each promotion
- Date and type of each dismissal, suspension, or demotion for disciplinary reasons.
- The office or station to which the employee is currently assigned

84

Orientation Manual Page: 52

A personnel file consists of any employment-related or personal information gathered by the agency, the Retirement Systems Division of the Department of State Treasurer, or by the Office of State Personnel.

The following information on each employee shall be maintained and open for inspection. In other words, this information is considered public information:

- Name
- Age
- Date of original employment or appointment to State service, the terms of any contract by which the employee is employed whether written or oral, past and current, to the extent that the agency has the written contract or a record of the oral contract in its possession.
- Current position
- Title
- Current salary (includes pay, benefits, incentives, bonuses, and deferred and all other forms of compensation)
- Date and amount of each increase or decrease in salary with that department, agency, institution, commission, or bureau
- Date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that department, agency, institution, commission, or bureau
- Date and general description of the reasons for each promotion with that department, agency, institution, commission or bureau
- Date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the

department, agency, institution, commission, or bureau. If the disciplinary action was a dismissal, a copy of the written notice of the final decision of the head of the department setting forth the specific acts or omissions that are the basis of the dismissal
- The office or station to which the employee is currently assigned

Information other than this listed is considered confidential.

All employee medical information is maintained separately from Personnel Records and are subject to different rules, regulations, and procedures. Any questions regarding medical information that may be considered part of a personnel file should be directed to the Human Resources Staff.

Employees and former employees may inspect and examine their personnel file during regular business hours provided they produce appropriate identification to the individual managing personnel records. Letters of reference solicited prior to employment, background checks, and recommendations for hire shall be removed from the employee's personnel file prior to the employee's review. Information concerning a medical disability, mental or physical, that a prudent physician would not divulge to a patient shall also be removed.

There may be instances when files may not always be readily available for review. If the employee has been separated from the Department for more than five (5) years or if the employee transferred to another state agency after separating from the Department, the file may have to be requested from the State Records Center, etc. If so, it may take a few weeks before the file can be obtained.